

AUG 03 2006

## BARNES &amp; THORNBURG LLP

600 One Summit Square  
Fort Wayne, Indiana 46802  
(260) 423-9440PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No.: 23641

Application No.: 09/804667

## Confirmation

No.: 1994

Filing Date: March 12, 2001

## Group Art

Unit: 3624

## Examiner

Name: Jocelyn Greimel

## Attorney

Docket No.: 37168/82320

## First Named

Inventor: Schwartz, Denis G.

## Title:

METHOD AND APPARATUS FOR  
PROVIDING RETIREMENT  
INCOME BENEFITSCertificate Under 37 CFR 1.8(a)I hereby certify that this correspondence is  
being facsimile transmitted to Examiner  
Jocelyn Greimel, United States Patent and  
Trademark Office; Fax No. (571) 273-8300.

on August 3, 2006

  
Dianne Neumann-Leatherman

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

## ENCLOSURES (check all that apply)

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form              | <input type="checkbox"/> Express Abandonment Request                         |
| <input checked="" type="checkbox"/> Fee - Deposit Acct. 02-1010       | <input type="checkbox"/> Information Disclosure Statement                    |
| <input checked="" type="checkbox"/> Amendment/Response                | <input type="checkbox"/> Certified Copy of Priority Document(s)              |
| <input type="checkbox"/> After Final                                  | <input type="checkbox"/> Response to Missing Parts/Incomplete Application    |
| <input type="checkbox"/> Affidavits/declaration(s)                    | <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |
| <input checked="" type="checkbox"/> Extension of Time Request - 1 mo. |  |

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_
- ☐ After Allowance Communication to Group

- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

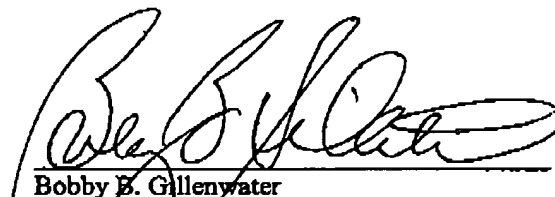
(a) Facsimile Cover Sheet

(b) \_\_\_\_\_

(c) \_\_\_\_\_

(d) \_\_\_\_\_

Remarks:

  
Bobby B. Gillenwater  
Reg. No. 31,108  
(260) 423-9440

Date: August 3, 2006

FWDS01 BBG 209989  
(Rev. 08/03)

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Filing Date: March 12, 2001  
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Examiner Name: Jocelyn Greimel  
Attorney Docket No.: 37168/82320  
First Named Inventor: Schwartz, Denis G  
Title: METHOD AND APPARATUS FOR PROVIDING RETIREMENT INCOME BENEFITS

Certificate Under 37 CFR 1.8(a)

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Dianne Neumann-LeathermanFEE TRANSMITTAL FOR FY 2006

TOTAL AMOUNT OF PAYMENT: \$ 120.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge this and any additional fee required under 37 CFR 1.16 and 1.17 and credit any overpayments to:

Deposit Account Number: 02-1010 (37168/82320)  
Deposit Account Name: Barnes & Thornburg LLP

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Check ☐ Credit Card ☐ Money Order ☒ Deposit Acct. ☐ None

**FEE CALCULATION****1. Basic Filing Fee:**

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1011	\$300.00	2011	\$150.00	Utility Filing Fee	
1012	\$200.00	2012	\$100.00	Design Filing Fee	
1017	\$200.00	2017	\$100.00	Design Filing Fee (CPA)	
1013	\$200.00	2013	\$100.00	Plant Filing Fee	
1014	\$300.00	2014	\$150.00	Reissue Filing Fee	
1005	\$200.00	2005	\$100.00	Provisional Filing Fee	
				<b>SUBTOTAL (1)</b>	<b>0.00</b>

**2. Patent Search Fees:**

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1111	\$500.00	2111	\$250.00	Utility Fee	
1112	\$100.00	2112	\$50.00	Design Fee	
1113	\$300.00	2113	\$150.00	Plant Fee	
1114	\$500.00	2114	\$250.00	Reissue Fee	
				<b>SUBTOTAL (2)</b>	<b>0.00</b>

**3. Patent Examination Fees:**

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1311	\$200.00	2311	\$100.00	Utility Examination Fee	
1312	\$130.00	2312	\$65.00	Design Examination Fee	
1313	\$160.00	2313	\$80.00	Plant Examination Fee	
1314	\$600.00	2314	\$300.00	Reissue Examination Fee	
				<b>SUBTOTAL (3)</b>	<b>0.00</b>

**4. Extra Claim Fees:**

			Extra Claims		Fee from Below	Fee Paid
Total Claims		-20**=		x		0.00
Independent Claims		- 3**=		x		0.00
Multiple Dependent Claim						0.00
					<b>SUBTOTAL (4)</b>	<b>0.00</b>

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description
1202	\$50.00	2202	\$25.00	Claims in excess of 20
1201	\$200.00	2201	\$100.00	Independent claims in excess of 3
1203	\$360.00	2203	\$180.00	Multiple dependent claims, if not paid

1204	\$88.00	2204	\$44.00	** Reissue independent claims over original patent
1205	\$18.00	2205	\$9.00	** Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; For Reissues, see above. For multiple dependent claims, pay fee only once no matter how many multiple dependent claims you have.

#### 5. Application Size Fee

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250.00 (\$125.00 for small entity) for each additional 50 sheets or fraction thereof.

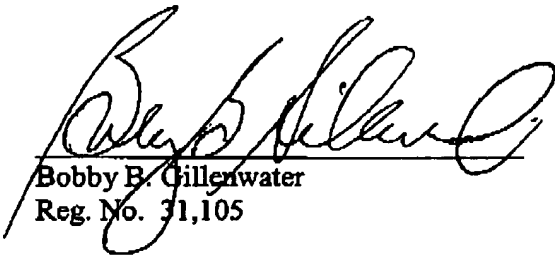
	Extra Sheets	Number of each additional 50 (Round up to whole number)	Fee from Below	Fee Paid
Total Sheets	<u>          </u> - 100 = <u>          </u> / 50 = <u>          </u>	<u>          </u>	<u>          </u>	<u>          </u>
SUBTOTAL (5)				0.00

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description
1081	\$250.00	2081	\$125.00	Sheets in excess of 100

#### 6. Additional Fees:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1051	\$130.00	2051	\$65.00	Surcharge - late filing fee or oath	
1052	\$50.00	2052	\$25.00	Surcharge - late provisional filing fee or cover sheet	
1053	\$130.00	1053	\$130.00	Non-English specification	
1812	\$2,520.00	1812	\$2,520.00	For filing a request for ex parte reexamination	
1804	\$920.00*	1804	\$920.00*	Requesting publication of SIR prior to Examiner action	
1805	\$1,840.00*	1805	\$1,840.00*	Requesting publication of SIR after to Examiner action	
1251	\$120.00	2251	\$60.00	Extension for reply within first month	120.00
1252	\$450.00	2252	\$225.00	Extension for reply within second month	
1253	\$1,020.00	2253	\$510.00	Extension for reply within third month	
1254	\$1,590.00	2254	\$795.00	Extension for reply within fourth month	
1255	\$2,160.00	2255	\$1,080.00	Extension for reply within fifth month	
1401	\$500.00	2401	\$250.00	Notice of Appeal	
1402	\$500.00	2402	\$250.00	Filing a brief in support of an appeal	
1403	\$1,000.00	2403	\$500.00	Request for oral hearing	
1451	\$1,510.00	1451	\$1,510.00	Petition to institute a public use proceeding	
1452	\$500.00	2452	\$250.00	Petition to revive - unavoidable	
1453	\$1,500.00	2453	\$750.00	Petition to revive - unintentional	
1501	\$1,400.00	2501	\$700.00	Utility issue fee	
1502	\$800.00	2502	\$400.00	Design issue fee	
1503	\$1,100.00	2503	\$550.00	Plant issue fee	
1504	\$300.00	1504	\$300.00	Publication Fee for early, voluntary, or	

				normal Publication	
1460	\$130.00	1460	\$130.00	Petitions to the Commissioner	
1807	\$50.00	1807	\$50.00	Processing fee for provisional applications	
1808	\$130.00	1808	\$130	Processing fee, except for provisional applications	
1806	\$180.00	1806	\$180.00	Submission of Information Disclosure Statement	
8021	\$40.00	8021	\$40.00	Recording each patent assignment per property (times number of properties)	
1809	\$790.00	2809	\$395.00	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	\$790.00	2810	\$395.00	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	\$790.00	2801	\$395.00	Request for Continued Examination (RCE)	
1802	\$900.00	1802	\$900.00	Request for expedited examination of a design application	
Other fee (specify):					
*Reduced by Basic Filing Fee Paid					
				SUBTOTAL (6)	120.00



Bobby B. Gillerwater  
Reg. No. 31,105

Date: August 3, 2006

FWDS01 209987

(Rev. 04/06)